

Section #

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Rajeev Bhardwaj, et al

EXAMINER:

SERIAL NUMBER: 09/368,651

ART GROUP: 2731

FILING DATE: 8/5/99

DOCKET NO.: 1400.4101890

TITLE: METHOD AND APPARATUS FOR PROVIDING MULTI-CAST TRANSMISSIONS USING A DISTRIBUTED ROUTER

Date: October 1, 1999

Attention: Box Missing Parts  
Honorable Commissioner of  
Patents & Trademarks  
Washington, DC 20231

*I hereby certify that this paper is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this date.*

10.7.99  
Date

Kristen G. Herzog  
Kristen G. Herzog

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION**

Dear Sir:

In response to the Notice to File Missing Parts of Application mailed 8/24/99, enclosed herewith please find:

- (a) Declaration executed by the inventors;
- (b) Assignment to Newbridge Networks Corporation;
- (c) Assignment cover sheet;
- (d) Transmittal Form;
- (e) Fee Transmittal Form;
- (f) Copy of the Notice to File Missing Parts of Application;
- (g) Check in the amount of \$1350.00; and
- (h) Return postcard

Respectfully submitted,

By: Timothy W. Markison

Timothy W. Markison  
Registration No.: 33,534  
Attorney for Applicant(s)

Markison & Reckamp, P.C.  
175 West Jackson Boulevard – Suite 1015  
Chicago, Illinois 60604  
Tel: (312) 939-9800  
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OCT 12 1999

PATENT & TRADEMARK OFFICE

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)  
Total Number of Pages in This Submission **19**

Application Number **09/368,651**

Filing Date **8/5/99**

First Named Inventor **Bhardwaj, et al**

Group Art Unit **2731**

Examiner Name

Attorney Docket Number **1400.4101890**

- ☒ Fee Transmittal Form  
☒ Fee Attached  
☐ Amendment / Response  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☐ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☒ Response to Missing Parts/Incomplete Application

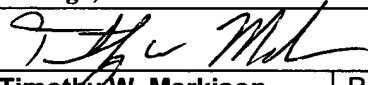
## ENCLOSURES (check all that apply)

- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53  
☒ Assignment Papers (for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition  
☐ To Convert a Provisional Application  
☐ Power of Attorney, Revocation, Change of Correspondence Address  
☐ Terminal Disclaimer

- ☐ Small Entity Statement  
☐ Request for Refund  
☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Additional Enclosure(s) (please identify below):  
Declaration


Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

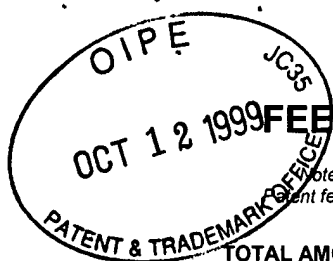
Firm name	Markison & Reckamp, P.C. 175 W. Jackson Blvd. - Suite 1015 Chicago, Illinois 60604			
Signature	 10/6/99			
Individual Name	Timothy W. Markison	Reg. No.	33,534	Date

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Kris Herzog		
Signature		Date	10.7.99

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## FEE TRANSMITTAL

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1350.00

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	760.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 760.00

#### 2. CLAIMS

Claims	Extra	Fee from below	Fee Paid
Total 39	(-20 =) 19	18	342.00
Indep. 4	(-3 =) 1	78	78.00
Multiple Dep.			

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim
109	78	209	39	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 420.00

Complete if Known

Application Number	09/368,651
Filing Date	8/5/99
First Named Inventor	Bhardway, et al
Group Art Unit	2731
Examiner Name	
Attorney Docket Number	1400.4101890

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

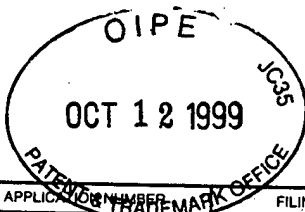
Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 170.00

#### SUBMITTED BY

Typed or Printed Name	Timothy W. Markison	Complete (if applicable)	
Signature		Reg. Number	33,534
Date	10/6/99	Deposit Account User ID	



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/368,651	08/05/99	BHARDWAY	R 1400.4101890

0232/0824

TIMOTHY W MARKISON  
175 W JACKSON BLVD-SUITE 1015  
CHICAGO IL 60604

NOT ASSIGNED

2731

DATE MAILED:

08/24/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 71.50.

☒ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ 76.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 342 for 19 total claims over 20.

\$ 78 for 1 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.27 (b), previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

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105  
103  
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